

Kentucky Commission on Community Volunteerism & Service
PROGRAM MONITORING—RISK ASSESSMENT
In preparation for 2015-2016 Program Year

AGENCY INFORMATION

Subgrantee

Program

Street Address

Telephone

City, State, Zip

Program Director

Result of Risk Assessment

Assessed Risk Measure:

- | | | | |
|------------------------------------|---|-------|--------------|
| <input type="checkbox"/> Very High | = | _____ | (over 51) |
| <input type="checkbox"/> High | = | _____ | (41 to 50) |
| <input type="checkbox"/> Medium | = | _____ | (31 to 40) |
| <input type="checkbox"/> Low | = | _____ | (26 to 30) |
| <input type="checkbox"/> Very Low | = | _____ | (25 or less) |

Type of Review to be Conducted:

Number of Programmatic Compliance Reviews: _____

Number of Site Visits Reviews: _____

Risk Assessment conducted by: _____ Date: _____

All programs and programs receiving a score of 30 or less will receive a minimum of 1 (one) Programmatic Compliance Review and 1 (one) Site Visit Review. Scores of 31 to 40 will receive a minimum of 1 (one) Programmatic Compliance Review with the possibility of additional reviews dependent on findings/deficiencies and corrective action taken. The same will hold true for Site Visits Reviews. Scores of 41 or more will receive a minimum of 2 (two) Programmatic Compliance Reviews and 2 (two) Site Visit Reviews. As findings/ deficiencies are corrected, the program will be reassessed and a new risk score assigned. Training and Technical Assistance is available to all programs in order attain/maintain the high quality expected.

Kentucky Commission on Community Volunteerism & Service

Risk-Based Monitoring Assessment

In order to maintain high quality AmeriCorps programs within the Commonwealth of Kentucky and to assure compliance with the standards set forth by the Corporation for Community and National Service, the Commission will utilize a risk-based approach to programmatic monitoring. Each sub-grantee will be assigned a risk level based on the number of risk factors present at any given time during a program year. Level I programs will be considered low risk and will receive a minimum of two site visits (one for compliance monitoring) per program year. Programs exhibiting one or more risk factors will be monitored more frequently. All first year programs will be considered high risk and will receive more on-site compliance monitoring and site visits.

Please circle only 1 (one) score per set of questions:

| Risk Categories | Score |
|---|--------------|
| Results of prior compliance monitoring/site visits | |
| • No significant findings | 1 |
| • Some minor findings | 2 |
| • Moderate findings | 3 |
| • Some significant findings | 4 |
| • Numerous significant findings | 5 |
| Implementation of corrective actions in a timely manner | |
| • Response to findings timely/ corrective actions implemented in a timely manner | 1 |
| • Response to findings timely/ corrective actions incomplete or not done in a timely manner | 2 |
| • Response to findings late/ corrective actions implemented late | 3 |
| • Response to findings late/ corrective actions not addressed | 4 |
| • Response to findings late/ no corrective actions taken | 5 |
| AmeriCorps/National Service experience | |
| • 2 nd grant and more – original director | 1 |
| • 2 nd grant and more – not original director | 2 |
| • 1 st grant – original director | 3 |
| • High staff turnover | 4 |
| • New program/ New Director | 5 |
| Progress Reports | |
| • Timely Submission/ Effective Reporting | 1 |
| • Timely Submission/ Adequate Reporting | 2 |
| • Timely Submission/ Inadequate Reporting | 3 |
| • Late Submission/ Adequate Reporting | 4 |
| • Late Submission/ Inadequate Reporting or Non-submittal | 5 |
| Timeliness enrolling/exiting members in WBRs/AmeriCorps Portal for program year | |
| • Members enrolled/exited within 30-day limit | 1 |
| • Majority of members enrolled/ exited within 30-day limit | 2 |
| • Majority of members enrolled /exited past 30-day limit | 3 |
| • Majority of members enrolled/exited more than 60-days of member enrollment /exit | 4 |
| • Member forms not kept up to date | 5 |
| Timeliness/accuracy of member's time logs | |
| • Time logs submitted monthly/ some revisions but not excessive/ good documentation | 1 |
| • Time logs submitted monthly/ many revisions/ good documentation | 2 |
| • Time logs not submitted regularly/ some revisions/ adequate documentation | 3 |
| • Time logs not submitted regularly/ some revision/ inadequate documentation | 4 |
| • Member time logs not submitted/ excessive revisions/ inadequate documentation | 5 |

Member Time Log Monitoring

- Program staff reviews member timesheets in a timely manner verifying accuracy of hours served; appropriateness of service; initials and dates corrections 1
- Program staff reviews timesheets for accuracy of hours and appropriateness of service. 2
- Program Officer, in random sampling of member time logs, finds uncorrected errors in addition of hours. 3
- Program Officer, in random sampling of member time logs, notes questionable service activities. 4
- Program Officer, in random sampling of member time logs, finds uncorrected errors in addition of hours and notes questionable activities. 5

Program's history in meeting and/or exceeding performance measures

- Program met or exceeded all performance measures. 1
- Program met or exceeded most performance measures. 2
- Program met most performance measures. 3
- Program met some performance measures; no explanation given for those not met. 4
- Program met few performance measures; reporting lacking. 5

Size of program/ number of sites

- Small program/ few service sites/ less than 20 members. 1
- Medium program/ medium number of service sites/ 20-50 members. 2
- Medium program/ many service sites/ 20-50 members. 3
- Large program/ many service sites/ 50+ members/ medium service area. 4
- Large program/ many service sites/50+ members/ large service area. 5

Member Enrollment

- Program used all slots granted by enrollment deadline. 1
- Program used all slots; some after enrollment deadline. 2
- Program did not use 10%-20% of slots granted. 3
- Program did not use 25%-50% of slots granted. 4
- Program did not use 55% or more of slots granted. 5

Member Attrition

- 95%-100% of the allotted members earned full educational awards. 1
- 85%-95% of the allotted members earned full educational awards; some converted and/or partial awards. 2
- 75%-85% of the allotted members earned full educational awards; some converted and/or partial awards. 3
- 50%-75% of the allotted members earned full educational awards; some converted and/or partial awards. 4
- Less than 50% of the allotted members earned full educational awards. 5

Member Recruitment/ Timely Enrollment

- Program recruited and enrolled all members in order that they may serve a full program year. 1
- Program recruited and enrolled a majority of the members before the end of the 1st month. 2
- Some slots filled during the 2nd month of the program. 3
- Some slots filled during the 3rd month of the program; conversion to part-time positions. 4
- Some slots were not filled. 5

Staff/member ratio: 1 full-time staff per 30 Corps members

- Number of staff exceeds ratio. 1
- Number of staff meets ratio. 2
- Number of staff does not meet ratio but is adequately effective. 3
- Staff time split with other duties. 4
- Number of staff inadequate to manage program. 5

Responsiveness of program to Commission requests for corrections—documents include but not limited to: Progress Reports, GARP feedback response, reimbursement request....

- Program submits corrected document(s) in a timely manner. 1
- Program usually submits corrected document(s) after deadline. 2
- Program usually submits document(s) on time but incomplete. 3
- Program usually submits document(s) late and incomplete. 4
- Program must be reminded of request for document(s). 5

Responsiveness of program to “other” Commission requests.

- Program complies with all requests in a timely manner. 1
- Program complies with all requests but is late at times. 2
- Program complies with some requests in a timely manner. 3
- Program complies with some requests but is usually late. 4
- Program complies with few requests in a timely manner. 5

Program Director / Staff participates in commissioned-sponsored training/ meetings.

- Program Director/Staff participates in all required training/ meetings/conference calls. 1
- Program Director/Staff participates in most of the required training/meetings/conference calls. 2
- Program Director/Staff participates in some of the required training/meetings/conference calls. 3
- Program Director does not participate in required conference calls 4
- Program Director does not participate in required training/meetings. 5

KCCVS/ Program contact.

- Program Director contacts and updates KCCVS staff on a regular basis; returns calls and e-mails. 1
- Program Director contacts/updates KCCVS staff at times; returns calls and e-mails. 2
- Program Director contacts and updates KCCVS staff at times; does not return calls and e-mails. 3
- Program Director rarely contacts or updates KCCVS staff; does return calls and e-mails. 4
- Program director rarely contacts or updates KCCVS staff; does not return calls and e-mails. 5

Complaints or calls of concerns to KCCVS from stakeholders (i.e. members, partnering agencies, public).

- Zero or small indication of concern/risk. 1
- Some calls/some indication of concern/risk. 2
- Some calls/moderate indication of concern/risk. 3
- Some calls/ high indication of concern/risk. 4
- Numerous calls/very high indication of concern/risk. 5

Member Training

- Program provides Orientation and numerous applicable/valuable training on a regular basis; members meet monthly. 1
- Program provides Orientation and numerous applicable/valuable training on a regular basis; members contacted monthly; members meet bi-monthly. 2
- Program provides Orientation and some applicable/valuable training; members contacted monthly; members meet quarterly. 3
- Program provides Orientation and some applicable/valuable training; members quarterly. 4
- Program provides Orientation and some applicable/valuable training but no set schedule; members meet as needed. 5